**IT INVESTMENT CAPITAL FUND**

**PROJECT STATUS REPORT**

**To:** Information Technology Strategy and Investment Committee

John Vittner, Office of Policy & Management

**FROM:** Craig Mollison, Department of Administrative Services – Bureau of Enterprise Services and

Technologies

**AGENCY/PROJECT NAME: DAS BEST / Enterprise Content Management**

**PROJECT MANAGER: Craig Mollison**

**REPORTING PERIOD: Phase I: May 15, 2014 – February 27, 2015**

**Total Funds Requested:** $ 5,388,291

**Bond Commission Approval(s):** Date: March 2014 Amount: $ 1,014,983

**Accumulative Total Capital Fund Expenditures to Date: $675,388.88**

**Enterprise Content Management Project Description**

State agencies are facing content and records management challenges as digital content grows and demands to eliminate paper copies increases. The Department of Administrative Services (DAS), Bureau of Enterprise Services and Technology (BEST), has invested in IBM’s Enterprise Content Management (ECM) suite of solutions which can assist with those challenges. The infrastructure and licensing for FileNet, the primary content repository, is available for all agencies to utilize. The ECM Service Development and Infrastructure Enhancement Project is a multi-phase project which focuses on 1) ensuring a stable and efficient environment, 2) developing a service model to assist agencies that want to utilize the system, 3) setting document standards in conjunction with the State Library, 4) implementing software to modernize the records management process from paper based to electronic, and 5) piloting the service model and records management software to ensure it meets the needs of the agencies and the CT State Library.

There are three (3) project phases planned for this initiative. The following scope descriptions include the primary focus of each phase:

Phase I – Develop standards, service models, and implement infrastructure upgrades – *In progress*

Phase II – Purchase, install, and implement IBM Enterprise Records (IER) and IBM Atlas. Also bring two agencies into FileNet and configure with IER and Atlas. Validate and enhance documentation created in Phase I –*Ready to begin now, requesting allocation of funds*

Phase III – Continue to onboard six other agencies into FileNet and utilize IER and Atlas – *Dependent on completion of Phase II*

**Accomplishments to Date**

During Phase I, the project team accomplished the following milestones:

* We enhanced the ECM environment by installing a new tool (SmartRecovery) for backup and restore of the content repository. This tool, which is currently being tested before being released to production, eliminates the need for nightly system downtime.
* We created a standard workflow and documentation for bringing additional agency programs into the ECM environment.
* We developed a staffing model for support of agency needs as more agencies are added to the service.
* Since this is a new service for state agencies, funds for ongoing maintenance are not available within the DAS budget. Agencies will need to pay for their share of usage and maintenance costs. In conjunction with the DAS Business Office, we have begun the development of a chargeback method so agencies can pay for the service based on actual usage and storage of the ECM products.
* We worked with the Connecticut State Library, to establish the foundation for enterprise standards for all State of Connecticut records, specifically targeting electronic records entered into the FileNet. We have collaborated with specialists in the records management space and created a working group made up of the Office of the Attorney General, State Auditors, and the Office of Policy & Management to ensure compliance with their records needs.
* We are currently testing IBM Enterprise Records and IBM Atlas, which we plan to install in Phase II, so we can start learning how to administer the products.

We have also continued to work with the pilot agency programs that are scheduled for Phase II and Phase III to establish requirements and set expectations. While we had planned on completing a full architectural review in Phase I of the project, that work was moved to Phase II to take into account the need to upgrade to a new version of the FileNet product. The new version is a substantial re-write of the software.

**Emerging Agency Demand**

Several agencies have indicated they would like to utilize ECM in the very near future. These additional agency projects will run in parallel to this project. It will be important that these new ECM projects utilize the standards we are putting in place and plan to utilize the records management software. The Department of Revenue Services, for example, wants to implement a scanning solution as soon as possible in preparation of their physical move to a new location in 2016. We expect to assist them in requirement gathering and have already passed along software costs.

Given this additional demand, we propose to move funding from Phase III of the project to Phase II in order to add a dedicated FileNet administrator for the duration of these projects. This resource will help keep projects moving forward and will help set a baseline for future employee staffing needs for this service.

**Issues and Risks**

Long term staffing of the program remains an open item. We have currently staffed our ECM Solutions Team using existing resources reaching across DAS/BEST (various technology teams), DOL (LEAN resources), and CSL (Office of the Public Records Administrator and the State Archivist). Both DAS/BEST and the CSL are utilizing consultants during this project. Starting in Phase II, DAS/BEST would like to change the staffing plan to the new service model developed in Phase I. Based on research and other organizations providing ECM services, we feel this new model will onboard agency projects more effectively and efficiently. Similar to the additional FileNet administrator proposed above, it does require shifting funds from Phase III to Phase II so that resources can be consistent through the phases. To test the optimal staffing level we have moved some Phase III consulting money ($339,217) to Phase II to accommodate that model. As more agencies are brought on board, it will be prudent to replace the project consultants with state staff.

**Next Steps**

We are requesting the funds for Phase II, totaling $1,206,087, be allocated for this project to continue the great strides made during Phase I. The pilot agencies that are designated to start in Phase II need a solution for their current business challenges and are anxious to get started. The objectives are to install and implement IBM Enterprise Records, IBM Atlas, and staff the ECM Solution Team to onboard the first two pilot agencies, OTT and CSL. Using feedback from these pilot agencies, we will evaluate the usability and quality of the new ECM service model, standards, and documentation created in Phase I. This evaluation will be used to make any necessary improvements to the service as well as recommendations for ongoing bond and capital expenditures.

The installation of the software will allow the State Library to electronically oversee the creation, maintenance, use, and destruction of state agency records. There will also be continued chargeback development with the Business Office for the ECM service. With the investment in Phase II, we will begin to standardize and automate records management within state government. The CT State Library and the Office of the Treasurer will be utilizing FileNet for their document and records management and can continue to expand its usage within their agencies.